U.S. DEPARTMENT OF EDUCATION OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES WASHINGTON, D.C. 20202-2575

FY 2002 APPLICATION KIT FOR NEW GRANTS UNDER THE NATIONAL INSTITUTE ON DISABILITY AND REHABILITATION RESEARCH

RESEARCH FELLOWSHIP PROGRAM

CFDA NUMBER: 84.133F



FORM APPROVED OMB No. 1820-0027, EXP. DATE 2/28/2003 ED FORM 424, 6/2001

DATED MATERIAL - OPEN IMMEDIATELY

CLOSING DATE: OCTOBER 9, 2001

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Dear Applicant:

The Secretary invites applications for new awards for fiscal year (FY) 2002 under the Research Fellowship program (84.133F) also known as the Mary E. Switzer fellowship.

Prior to completing the grant application, please review the Federal Register Notice included in this application packet.

Only individuals are eligible for this competition.

APPLICATION PROCEDURES

This application kit contains information and the required forms for potential applicants to apply and be considered for a FY 2002 grant award under this competition including the published Federal Register dated July 31, 2002. Potential applicants are advised to read the materials carefully, particularly the information on the types of applicants that are eligible to apply for these grants, how to prepare an application, the selection criteria (SECTION C) used by the reviewers to evaluate each application, the letters of support and the protection of human subjects element.

These instructions indicate that you must mail (postmarked) or hand-deliver or by carrier service one original and two copies of your application on or before the application deadline date, to the following address: U.S. Department of Education, Application Control Center, Attention: CFDA Number 84.133F, 7th & D Streets, S.W., Room 3633, Regional Office Building #3, Washington, DC 20202-4725. The National Institute on Disability and Rehabilitation Research would appreciate your including seven additional copies of your application to facilitate the peer review process (eight applications in all). Also, we would like to suggest that the original copy of the application be secured with a binder clip in order to facilitate any additional copying that might be required. The closing date is **OCTOBER 9, 2001**.

The program narrative must address the selection criteria used for this program that are included in this application packet (SECTION C). To facilitate the peer review process, you should address the criteria in the order presented. Additionally, each proposal **should** include a one page abstract. The abstract is a critical component of the proposal and it **should** highlight the purpose, target population to be served during the project period, planned goals and objectives, innovative strategies utilized, project outcomes, and dissemination. No budget is required.

There is a restriction of the number of pages with this competition. Please remember to keep the narrative to not more than 24 double spaced pages. These pages do not include the forms, abstract, letters of support or the information on human subjects protection.

PROGRAM RULES

These grants are subject to the requirements of Education Department General Administrative Regulations (EDGAR), 34 CFR Part 74, 75, 77, 81, 82, 85, and 97, which set forth general rules affecting the submittal, review, grant award, and post-award administration for Department of Education grant programs.

TECHNICAL ASSISTANCE

If you have any questions about the information in this application packet, please contact Donna Nangle at Donna.Nangle@ed.gov or by telephone at (202) 205-5880. Individuals who use a telecommunications device (**TDD**) may call the Federal Information Relay Service (**FIRS**) at 1-800-877-8339 between 8:00 a.m. and 8:00 p.m., EST, Monday through Friday.

NOTE: Please forward this entire application packet to the individual or office responsible for preparing an application as they will need the entire packet to complete the grant application.

Thank you for your interest in this program.

Sincerely,

Signed, Francis V. Corrigan Deputy Director, National Institute on Disability and Rehabilitation Research

SECTION B

4000-01-U

DEPARTMENT OF EDUCATION

CFDA No.: 84.133F

Office of Special Education and Rehabilitative Services

National Institute on Disability and Rehabilitation Research

Notice Inviting Applications for New Awards Under the Research

Fellowships Program for Fiscal Year (FY) 2002.

PURPOSE OF THE PROGRAM: The purpose of this Fellowship program is to build research capacity by providing support to highly qualified individuals, including those who are individuals with disabilities, to perform research on the rehabilitation of individuals with disabilities. Fellows may conduct original research in any area authorized by section 204 of the Rehabilitation Act of 1973, as amended. Fellows may address problems encountered by individuals in their daily lives that are due to the presence of a disabling condition, problems associated with the provision of rehabilitation services to individuals with disabilities, and problems connected with the conduct of disability research.

The program provides two categories of Fellowships: Merit
Fellowships and Distinguished Fellowships. (a) To be eligible for a
Distinguished Fellowship, an individual must have seven or more years of
research experience in subject areas, methods, or techniques relevant to
rehabilitation research and must have a doctorate, other terminal

degree, or comparable academic qualifications. (b) To be eligible for a Merit Fellowship, an individual must have either advanced professional training or independent study experience in an area which is directly pertinent to disability and rehabilitation.

Applicants are not required to submit a budget with their proposal. These are one Full Time Equivalent (FTE) awards: the applicant must work principally on the fellowship during the year. The applicant cannot receive support through any other federal government grants during this period. We define one FTE as equal to 40 hours per week. National Education Goals

The eight National Education Goals focus the Nation's education reform efforts and provide a framework for improving teaching and learning.

This notice addresses the National Education Goal that every adult American will be literate and will possess the knowledge and skills necessary to compete in a global economy and exercise the rights and responsibilities of citizenship.

Eligible Applicants: (a) Only individuals are eligible to be recipients of Fellowships. (b) Any individual is eligible for assistance under this program who has training and experience that indicate a potential for engaging in scientific research related to the solution of rehabilitation problems of individuals with disabilities.

 $\underline{\text{Note}}$: Institutions are not eligible to be recipients of Fellowships. B-2

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: October 9, 2001

APPLICATION AVAILABLE: July 31, 2001

MAXIMUM AWARD AMOUNT: Merit: \$45,000; Distinguished: \$55,000.

ESTIMATED NUMBER OF AWARDS: 10.

NOTE: The estimated funding level in this notice does not bind the Department of Education to make awards, or to any specific number of awards or funding levels, unless otherwise specified in statute.

PROJECT PERIOD: 12 months.

<u>Page Limitation</u>: The application must be limited to no more than 24 pages double spaced.

Note: The Secretary will reject without consideration or evaluation any application for a Research Fellowship that does not adhere to the 24 page double space limit.

<u>APPLICABLE REGULATIONS</u>: The Education Department General Administrative Regulations (EDGAR), 34 CFR parts 74, 75, 77, 81, 82, 85, 86, and 97; and 34 CFR part 356, Research Fellowships.

Note: Applicants need to put their Social Security Number in Block #2 on the 424 form in place of the DUNS Number.

SELECTION CRITERIA: In evaluating an application for a new grant under this competition, we use selection criteria chosen from the selection criteria in 34 CFR 350.54. The selection criteria to be used for this competition will be provided in the application package for this competition.

FOR APPLICATIONS CONTACT: Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free) 1-877-576-7734.

You may also contact ED Pubs via its Web site:

http://www.ed.gov/pubs/edpubs.html or its E-mail address
(edpubs@inet.ed.gov).

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.133F.

Individuals with disabilities may obtain a copy of the application package in an alternative format by contacting the Grants and Contracts Services Team, U.S. Department of Education, 400 Maryland Avenue, S.W., room 3317, Switzer Building, Washington, DC 20202-2550. Telephone: (202) 205-8351.

If you use a TDD, you may call the Federal Information Relay Services (FIRS) at 1-800-877-8339. However, the Department is not able to reproduce in an alternative format the standard forms included in the application package.

FOR FURTHER INFORMATION CONTACT: Donna Nangle, Department of Education, 400 Maryland Avenue, S.W., room 3414, Switzer Building, Washington, DC 20202-2645. Telephone: (202) 205-5880. Individuals who use a TDD may call the TDD number at (202) 205-4475. Internet: Donna.Nangle@ed.gov

Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, or computer diskette) on request to the contact person listed in the preceding paragraph.

Electronic Access to This Document

You may review this document, as well as all other Department of Education documents published in the <u>Federal Register</u>, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

www.ed.gov/legislation/FedRegister

To use PDF you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC, area at (202) 512-1530.

Note: The official version of this document is the document published in the <u>Federal Register</u>. Free Internet access to the official edition of the <u>Federal Register</u> and the Code of Federal Regulations is available on GPO access at:

http://www.access.gpo.gov/nara/index.html

PROGRAM AUTHORITY: 29 U.S.C. 762(e)

Dated: July 19, 2001

Signed_

Francis V. Corrigan,

<u>Deputy Director</u>,

<u>National Institute on</u>

<u>Disability and Rehabilitation</u>

<u>Research</u>

SECTION C

SELECTION CRITERIA:

The Secretary uses the following criteria to evaluate a Fellowship application.

<u>Selection Criteria</u>: The Secretary evaluates applications for Fellowships according to the following criteria in 34 CFR 356.30.

- (a) Quality and level of formal education, previous work experience, and recommendations of present or former supervisors or colleagues that include an indication of the applicant's ability to work creatively in scientific research; and
- (b) The quality of a research proposal of no more than 24 double spaced pages containing the following information:
- (1) The importance of the problem to be investigated to the purpose of the Act and the mission of the National Institute on Disability and Rehabilitation Research (NIDRR).
- (2) The research hypotheses or related objectives and the methodology and design to be followed.
- (3) Assurance of the availability of any necessary data resources, equipment, or institutional support, including technical consultation and support where appropriate, required to carry out the proposed activity.

The application should include an abstract, a project narrative, vitae of the applicant, and letters of support or recommendation. Any letters of recommendation received separately from the application will not be forwarded to the reviewers. If the applicant proposes to use unique tests or other measurement instruments that are not widely known in the field, it would be helpful to include the instrument in the application. Many applications contain voluminous appendices that are not helpful and in many cases cannot even be mailed to the reviewers. It is generally not helpful to include such things as brochures, general capability statements of collaborating organizations, maps, copies of publications, or descriptions of other projects completed by the applicant.

SECTION D

Applicants answering "Yes" to item 12 on form ED 424 whose research activities are nonexempt must complete the six point narrative on protection of human subjects described in the Attachment to form ED 424. If your project does include research activities that are subject to ED's Protection of Human Subjects Regulations, ED cannot make the award until the human subjects requirements for your grant have been met. Helene Deramond, ED Human Subjects Protection Coordinator for "human subjects" clearance can tell you about the requirements and she is available to help you through the process. She can be reached on (202) 260-5353 or at Helene_Deramond@ed.gov Additional information can be found at http://ocfo.ed.gov/humansub.htm

SECTION E

FREQUENT QUESTIONS

1. CAN I GET AN EXTENSION OF THE DUE DATE?

No. On rare occasions the Department of Education may extend a closing date for all applicants. If that occurs, a notice of the revised due date is published in the <u>Federal Register</u>. However, there are no extensions or exceptions to the due date made for individual applicants.

2. WHAT SHOULD BE INCLUDED IN THE APPLICATION?

The application should include a project narrative, vitae, and letters of support, as well as the Assurances forms included in this package. Vitae should include information that is specifically pertinent to this proposed project and research experience. If the applicant proposes to use unique tests or other measurement instruments that are not widely known in the field, it would be helpful to include the instrument in the application. Many applications contain voluminous appendices that are not helpful and in many cases cannot even be mailed to the reviewers. It is generally not helpful to include such things as brochures, general capability statements of collaborating organizations, maps, copies of publications, or descriptions of other projects completed by the applicant.

3. WHAT FORMAT SHOULD BE USED FOR THE APPLICATION?

NIDRR generally advises applicants that they may organize the application to follow the selection criteria that will be used. The specific review criteria vary according to the specific program, and are contained in this Consolidated Application Package.

4. CAN INDIVIDUALS APPLY FOR GRANTS?

Yes. Individuals are the only entities eligible to apply for the Research Fellowships (84.133F).

5. CAN NIDRR STAFF ADVISE ME WHETHER MY PROJECT IS OF INTEREST TO NIDRR OR LIKELY TO BE FUNDED?

No. NIDRR staff can advise you of the requirements of the program in which you propose to submit your application. However, staff cannot advise you of whether your subject area or proposed approach is likely to receive approval.

6. HOW SOON AFTER SUBMITTING MY APPLICATION CAN I FIND OUT IF IT WILL BE FUNDED?

The time from closing date to grant award date varies from program to program. Generally speaking, NIDRR endeavors to have awards made within five to six months of the closing date. Unsuccessful applicants generally will be notified within that time frame as well. For the purpose of estimating a project start date, the applicant should estimate approximately six months from the closing date, but no later than the following September 30.

7. CAN I CALL NIDRR TO FIND OUT IF MY APPLICATION IS BEING FUNDED?

No. When NIDRR is able to release information on the status of grant applications, it will notify applicants by letter. The results of the peer review cannot be released except through this formal notification.

8. WILL ALL APPROVED APPLICATIONS BE FUNDED?

No. It often happens that the peer review panels approve for funding more applications than NIDRR can fund within available resources. Applicants who are approved but not funded are encouraged to consider submitting similar applications in future competitions.

POINTS TO REMEMBER IN APPLICATION PREPARATION

- 1. In block #2 on the 424 form, please place your Social Security Number instead of a DUNS number.
- 2. In the title block of #4 on the 424 form, please note the CFDA number, 84.133F on the form.
- 3. The applicant is the Certifying Officer or Authorized Representative.
- 4. Please note that the specific selection criteria are listed in SECTION D of this package.
- 5. Number all pages to make it easier for the reader to refer to a page number if comments are given (including the appendices).
- 6. Organize your narrative in accordance with the selection criterion in SECTION C of this package. Address all criteria.
- 7. Your research hypotheses and methodologies should be clearly stated and descriptive.
- 8. There is a strict page limit. Keep the narrative to 24 pages, double-spaced. The one-page abstract may be single-spaced. The page limit does not include the forms, abstract, resume, bibliography, letters of support and any information on the Protection of Human Subjects.
- 9. Application must be postmarked by the closing date of **OCTOBER 9, 2001**. If sending by courier service (i.e., Fed X, UPS, Postal Express), please hand deliver between 8:00 a.m. and 4:30 p.m., to the following address: U.S. Department of Education, Application Control Center, Room 3633, General Services Administration National Capital Region, 7th and D Streets, S.W., Washington, DC 20202-4725. If a phone number is required for the express mail, please use 202-708-9493 for ACC.
- 10. Remember to include a narrative on the protection of Human Subjects as it pertains to your grant if you check "yes" on block number 12 of the 424 form. If you check "no" please include a paragraph of why it is not required.

SECTION F

Application Transmittal Instructions

An application for an award must be postmarked or hand delivered by the closing date of October 9, 2001.

(A) If You Send Your Application by Mail:

You must mail the original and two copies of the application on or before the deadline date to:

U.S. Department of Education Application Control Center Attention: CFDA #133F Washington, DC 20202-4725

You must show one of the following as proof of mailing:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

(B) If You Deliver Your Application by Hand:

You or your courier must hand deliver the original and two copies of the application by 4:30 p.m. (Washington, DC time) on or before the deadline date to:

U.S. Department of Education Application Control Center Attention: CFDA #133F Room 3633 Regional Office Building 3 7th and D Streets, SW. Washington, DC 20202

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays, and Federal holidays. The Center accepts application deliveries through the D Street entrance only. A person delivering an application must show identification to enter the building.

SECTION G

INSTRUCTIONS FOR APPLICATION

INSTRUCTIONS FOR APPLICATION NARRATIVE

Required Page Limits:

The Secretary <u>requires</u> that applicants <u>limit Part II</u> - Application Narrative to no more than 24 double-spaced 8.5 x 11" pages (on one side only) with one inch margins (top, bottom, and sides). The Secretary will reject without consideration or evaluation any application for a Research Fellowship that does not adhere to the 24 page double space limit.

Recommended:

- (1) Include a one-page abstract in their application; and
- (2) Use no smaller than a 12-point font, and an average character density no greater than 14 characters per inch.

The recommended application narrative page limit does not apply to: the forms – Application for Federal Education Assistance (ED 424), Assurances – Non-Construction Programs (SF 424B and the Certifications (ED 80-0013); the one-page abstract; resume(s); bibliography, or letters of support or the information on the Protection of Human Subjects.

The recommendations for double-spacing and font do not apply within charts, tables, figures, and graphs, but the information presented in those formats should be easily readable.

The budget form and justification are not required by this program.

APPLICATION FORMS

The enclosed forms shall be used by all applicants for Federal Assistance under all NIDRR programs. A separate application must be submitted for each grant sought. No grant may be awarded unless the completed application forms have been received. If an item does not appear to be relevant to the assistance requested, write "NA" for not applicable.

This application consists of four parts. These parts are organized in the same manner that the submitted application should be organized. These parts are as follows:

Part I - Federal Assistance Application Face Page

Part II - Application Narrative

Part III - Assurances, Certifications and Disclosures

Part IV – Letters of Support

Each submitted application should include an index or table of contents and a one-page project abstract. Pages should be consecutively numbered.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 1820-0027. The time required to complete this information collection is estimated to average 40 hours per response, including the time to review instructions, search existing data resources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

Under terms of the Paperwork Reduction Act of 1980, as amended, and the regulations implementing that Act, the Department of Education invites comment on the public reporting burden in this collection of information. You may send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and Compliance Division, Washington, D.C. 20202-4651; and to the Office of Management and Budget, Paperwork Reduction Project 1820-0027, Washington, D.C. 20503.

PART I - FEDERAL ASSISTANCE FACE PAGE (424)

Application for Federal Education Assistance



Note: If available, please provide application package on diskette and specify the file format

U.S. Department of Education

Form Approved OMB No. 1875-0106 Exp. 06/30/2001

1. Name and Address					Organiza	ational Unit
<u> </u>					-	
City				State	County	ZIP Code + 4
2. Applicant's D-U-l	N-S Number: _			6. Is the ap		on any Federal debt? _No (If "Yes," attach an explanation.)
3. Applicant's T-I-N	· -	_	_	m: .1		
4. Catalog of Federa	l Domestic Assistance #	84	_ _ _ →			
5. Project Director:_				7. Type of Appli	cant (Enter approp	riate letter in the box.)//
Address:					A - State	H - Independent School District
					A - State B - County C - Municipal	I - Public College or University J - Private, Non-Profit College or University
City Tel. #: ()	Fax #:		Zip code + 4		D - Township E - Interstate	K - Indian Tribe L - Individual
E-Mail Address:					-	al M - Private, Profit-Making Organization ict N - Other (Specify):
_				- 8.	•	
Application Info	rmation			12	A	
71				12	planned at any tim	activities involving human subjects ne during the proposed project
-PreApplication Constructi	ion Con	struction			period?Y a. If "Yes," Exemp	esNo tion(s) #: b. Assurance of Compliance
Non-Cons	struction Non	-Constr	action		I.	OR
10. Is application sub	bject to review by Execunade available to the Ex	tive Ord	er 12372 process?	c. IRB appi	roval data:	Full IRB <u>or</u>
proc	cess for review):/_	/	————	• • •		Expedited Review
No (If "No	," check appropriate box	k below.)		. Descriptive Title	of Applicant's Project:
_ _	Program is not cove Program has not bee	rea by E n select	ed by State for review	w.		
11. Proposed Project	Dates:/			_		
Estimated Fundin	Start Date:		End Date: Authorized Rep	resentative l		
	<u> </u>		15. To the best			
14a. Federal	\$	00	true and cor	rrect. The docu	ment has been du	ly authorized by the governing body of
b. Applicant	\$	00	awarded.			
c. State	\$	00	a. Typed Name o	of Authorized R	epresentative	
d. Local	\$	00				
e. Other	\$	00	b.			
Title:						
f. Program Income	\$	00	c. Tel. #: ()	Fax	#:()
			d. E-Mail Addre	ss:		
g. TOTAL	\$	00	e. Signature of	Authorized Re	presentative	
ED 424 (rev 11/12	/99)					

- **1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
- 2. D-U-N-S Number. Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: http://www.dnb.com/dbis/aboutdb/intlduns.htm.
- **3. Tax Identification Number.** Enter the tax identification number as assigned by the Internal Revenue Service.
- **4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested.
- **5. Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- 6. Federal Debt Delinquency. Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
- **7. Type of Applicant.** Enter the appropriate letter in the box provided.
- 8. Novice Applicant. Check "Yes" only if assistance is being requested under a program that gives special consideration to novice applicants and you meet the program requirements for novice applicants. By checking "Yes" the applicant certifies that it meets the novice applicant requirements specified by ED. Otherwise, check "No."
- **9. Type of Submission.** Self-explanatory.
- 10. Executive Order 12372. Check "Yes" if the application is subject to review by Executive Order 12372. Also, please enter the month, date, and four (4) digit year (e.g., 12/12/2000). Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process. Otherwise, check "No."
- **11. Proposed Project Dates.** Please enter the month, date, and four (4) digit year (e.g., 12/12/2000).
- 12. Human Subjects. Check "Yes" or "No". If research activities involving human subjects are not planned at any time during the proposed project period, check "No." The remaining parts of item 11 are then not applicable.

If research activities involving human subjects, whether or not exempt from Federal regulations for the protection of human subjects, <u>are</u> planned <u>at any time</u> during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution, check "Yes." If <u>all</u> the research activities are designated to be exempt under the regulations, enter, in item 11a, the exemption number(s) corresponding to one or more of the six exemption categories listed in "Protection of Human Subjects in Research" attached to this form. Provide sufficient information in the application to allow a determination that the designated exemptions in item 11a, are appropriate. Provide this narrative information in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page. Skip the remaining parts of item 11.

If <u>some or all</u> of the planned research activities involving human subjects are covered (nonexempt), skip item 11a and continue with the remaining parts of item 11, as noted below. In addition, follow the instructions in "Protection of Human Subjects in Research" attached to this form to prepare the six-point narrative about the nonexempt activities. Provide this six-point narrative in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page.

If the applicant organization has an approved Multiple **Project Assurance of Compliance** on file with the Grants Policy and Oversight Staff (GPOS), U.S. Department of Education, or with the Office for Protection from Research Risks (OPRR), National Institutes of Health, U.S. Department of Health and Human Services, that covers the specific activity, enter the Assurance number in item 11b and the date of approval by the Institutional Review Board (IRB) of the proposed activities in item 11c. This date must be no earlier than one year before the receipt date for which the application is submitted and must include the four (4) digit year (e.g., 2000). Check the type of IRB review in the appropriate box. An IRB may use the expedited review procedure if it complies with the requirements of 34 CFR 97.110. If the IRB review is delayed beyond the submission of the application, enter "Pending" in item 11c. If your application is recommended/selected for funding, a followup certification of IRB approval from an official signing for the applicant organization must be sent to and received by the designated ED official within 30 days after a specific formal request from the designated ED official. If the applicant organization does not have on file with GPOS or OPRR an approved Assurance of Compliance that covers the proposed research activity, enter "None" in item 11b and skip 11c. In this case, the applicant organization, by the signature on the application, is declaring that it will comply with 34 CFR 97 within 30 days after a specific formal request from the designated ED official for the Assurance(s) and IRB certifications.

13. Project Title. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

- 14. Estimated Funding. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 13.
- **15. Certification.** To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office.

Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 14e, please enter the month, date, and four (4) digit year (e.g., 12/12/2000) in the date signed field.

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. If you have comments or concerns 20202-4651. regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

Protection of Human Subjects in Research (Attachment to ED 424)

I. Instructions to Applicants about the Narrative Information that Must be Provided if Research Activities Involving Human Subjects are Planned.

If you marked item 11 on the application "Yes" and designated exemptions in 11a, (all research activities are exempt), provide sufficient information in the application to allow a determination that the designated exemptions are appropriate. Research involving human subjects that is exempt from the regulations is discussed under II.B. "Exemptions," below. The Narrative must be succinct. Provide this information in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page.

If you marked "Yes" to item 11 on the face page, and designated no exemptions from the regulations (some or all of the research activities are nonexempt), address the following six points for each nonexempt activity. In addition, if research involving human subjects will take place at collaborating site(s) or other performance site(s), provide this information before discussing the six points. Although no specific page limitation applies to this section of the application, be succinct. Provide the six-point narrative and discussion of other performance sites in an "Item 11/Protection of Human Subjects Attachment" and insert this attachment immediately following the ED 424 face page.

- (1) Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable.
- (2) Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.
- (3) Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.
- (4) Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

- (5) Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.
- (6) Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

II. Information on Research Activities Involving Human Subjects

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

-Is it a research activity?

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as "a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge." If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge, such as an exploratory study or the collection of data to test a hypothesis, it is research. Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Is it a human subject?

The regulations define human subject as "a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information." (1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the only involvement of human subjects will be in one or more of the following six categories of *exemptions* are not covered by the regulations:

- (1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
- (2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. If the subjects are children, this exemption applies only to research involving educational tests or observations of public behavior when the investigator(s) do not participate in the activities being observed. [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]
- (3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.
- (4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.
- (5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine:
 (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S Department of Agriculture.

Copies of the Department of Education's Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff (GPOS) Office of the Chief Financial and Chief Information Officer, U.S. Department of Education, Washington, D.C., telephone: (202) 708-8263, and on the U.S. Department of Education's Protection of Human Subjects in Research Web Site at http://ocfo.ed.gov/humansub.htm.

Pitfalls to Avoid in Responding to Item 12 of the ED 424

(Human Subjects Item on Application for Federal Education Assistance)

In 1998, the U.S. Department of Education (ED) began using in all grant application packages a revised version of the Application for Federal Education Assistance (ED 424). The ED 424 contains a new item, item 12, which requests information about the protection of human research subjects in projects funded by ED. To minimize the need for ED-requested revisions to item 12 responses, we have prepared a list of pitfalls to avoid. We have also tightened up the instructions for item 12 to specify where in the application, if necessary, the applicant should insert 1) the information we need to determine if designated exemptions to the Regulations for the Protection of Human Subjects are appropriate or 2) the six-point narrative required when nonexempt research activities involving human subjects are planned.

The following are the most common responses that result in ED-requested revisions to item 12 of the ED 424.

- 1. The applicant did not check the "Yes" or the "No" box. One of the boxes must be checked.
- 2. The applicant checked "No," but the proposal suggests that research activities involving human subjects are planned. If research activities involving human subjects are planned, whether or not those activities are exempt under the ED regulations, "Yes" must be checked.
- 3. The applicant checked "No" but also responded to other parts of item 12. If "No" is checked, do not respond to the remaining parts of item 12.
- 4. The applicant checked "Yes" and designated one or more exemption(s) in 12a., indicating that all the research activities involving human subjects are exempt, but also provided information in 12b. or 12c.
 - a. If all the research activities are exempt, do not respond to the remaining parts of item 12, even if the applicant submits the proposal to the Institutional Review Board for review.
 - b. If some or all of the research activities are covered (nonexempt), skip 12a. and go directly to 12b.
- 5. The applicant checked "Yes" and entered one or more exemption number(s) in 12a. but overlooked the requirement to provide the information we need to determine if the designated exemptions are appropriate. The narrative information about the designated exemptions should be provided in an "Item 12/Protection of Human Subjects Attachment" and be inserted immediately following the ED 424 face page. The narrative must be succinct.
- 6. The applicant checked "Yes" and did not designate exemption(s), but failed to provide the six-point research activities narrative outlined in "Instructions to Applicants about the Narrative Information that Must Be Provided if Research Activities Involving Human Subjects are Planned" in Protection of Human Subjects in Research (Attachment to ED 424). The narrative is required when covered (nonexempt) research activities involving human subjects are planned. The six-point narrative should be provided in an "Item 12/Protection of Human Subjects Attachment" and be inserted immediately following the ED 424 face page. The narrative must be succinct.

For additional information, please visit our Protection of Human Subjects web site at: http://ocfo.ed.gov/humansub.htm.

(giw - 12/2/99)		

PART III - ASSURANCES, CERTIFICATIONS, DISCLOSURES

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

- 1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
- Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- 4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
- 6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits

- discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
- 7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
- 8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

- 9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction subagreements.
- 10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
- 11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as 7401 et seq.); (g) protection of amended (42 U.S.C. underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

- 12 Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
- Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a-1 et seq.).
- 14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
- 15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
- 16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.
- 17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, Audits of States, Local Governments, and Non-Profit Organizations.
- 18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL	TITLE	
APPLICANT ORGANIZATION		DATE SUBMITTED

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;
- (b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

- A. The applicant certifies that it and its principals:
- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

- (b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification: and
- (d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and
- B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

- A. The applicant certifies that it will or will continue to provide a drug-free workplace by:
- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an on-going drug-free awareness program to inform employees about:
- (1) The dangers of drug abuse in the workplace;
- (2) The grantee's policy of maintaining a drug-free workplace;

- (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
- (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
- (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address city county state zin

code)					

Check [] if there are workplaces on file that are not identified here.

- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:
- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

- A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and
- B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

ED 80-0013 12/98

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L. 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

The time required to complete this information collection is estimated to vary from 1 to 3 hours per response, with an average of 1.5 hours, including the time to review instructions, search existing data resources, gather and maintain the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-4651.

General Education Provisions Act (GEPA) Requirement

Applicants should use this section to address the GEPA provision.

NOTICE TO ALL APPLICANTS: The Government Performance and Results Act (GPRA)

What is GPRA

The Government Performance and Results Act of 1993 is a straightforward statute that requires all Federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In doing so, it is expected that GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of Federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the United States Department of Education Responded to the GPRA Requirements?

As required by GPRA, the United States Department of Education (the Department) has prepared a strategic plan for 1998-2002. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the United States. The Department's goals, as listed in the plan, are:

- **Goal 1:** Help all students reach challenging academic standards so that they are prepared for responsible citizenship, further learning, and productive employment.
- Goal 2: Build a solid foundation for learning for all children.
- **Goal 3:** Ensure access to postsecondary education and lifelong learning.
- **Goal 4:** Make the United States Department of Education a high performance organization by focusing on results, service quality, and customer satisfaction.

COMMON QUESTIONS AND ANSWERS

[Below are some examples of Q's & A's that programs may include in their application booklets. Programs may want to add others. Generally speaking, Q's & A's should not repeat information that is given elsewhere in the application. However, there may be exceptions to this "rule of thumb." Q's & A's should not be subregulatory and should not take the place of instructions.]

- Q. What happens to my application after it is received in the Department?
- A. The Department's Application Control Center receives each application, assigns each an identifying number (PR/Award number), confirms receipt of applications, and sends the applications to the appropriate program office, which screens them for eligibility. The program conducts a peer review of all eligible applications sent to a program competition, ranks them and recommends the highest ranked applications for funding with exceptions as provided by law. The responsible official for the applicable program reviews the program office's recommendations, checks the adequacy of the documentation supporting the recommendations, and approves a final list, or slate, of recommended projects and funding amounts. The program then awards the grants.
- Q. What happens to my application if the Department finds it to be ineligible?
- A. The Department immediately returns an application that does not meet the eligibility criteria for the particular program. A letter from the Department explaining why it is not being reviewed in the competition accompanies the application.
- Q. How does the Department review an application?
- A. Each application is assessed by knowledgeable persons from outside and sometimes inside the Department who are asked for their judgements about the quality and significance of the proposed project. These persons represent a diversity of disciplines and institutional, regional, and cultural backgrounds. The advice of these experts is compiled by Departmental staff who comment on matters of fact or on significant issues that would otherwise be missing from the review. The results are then presented to the official responsible for the program who approves funding.
- Q. What criteria do the reviewers use when scoring an application?
- A. Reviewers score each application using the selection criteria published in the <u>Federal Register</u> as part of the program regulations, which are given [specify where they can be found in the application package]. Reviewers are instructed to use only the published criteria.
- Q. Is a recommended application guaranteed funding?
- A. No. Funding is not final until a grant award notification has been mailed to the applicant.
- Q. How long does it take the Department to complete the review process?

- A. (Describe normal experience with the particular program. Most review processes take from three to five months.)
- Q. How do the invitational, competitive and absolute priorities differ?

A. Invitational Priority

The Secretary may simply invite applicants to meet a priority. However, an application that addresses invitational priorities receives no competitive or absolute preference over applications that do not meet this priority.

Competitive Priority

If a program uses weighted selection criteria, the Secretary may award selection points to an application that meets the priority. These points are in addition to any points the application earns under the selection criteria. The notice states the maximum number of additional points that the Secretary may award to applications that meet the priority in a particularly effective way. Or the Secretary may simply select applications that meet the competitive priority over applications of comparable merit that do not meet the priority.

Absolute Priority

Under an absolute priority, the Secretary may select for funding only those applications that meet the priority.

- Q. Can changes in the size of subsequent year awards be made after the multi-year budget is approved?
- A. Generally, no. The amounts for the out-years of a grant are approved as part of the original approval process.
- Q. How will funding continuation decisions be made?
- A. Grantees are required to submit annual performance reports that describe the projects' progress toward meeting objectives and their expenditure of funds. These performance reports are used by the Department to decide whether the grantee has made substantial progress.

IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS
IN U.S. DEPARTMENT OF EDUCATION
GRANT AND CONTRACT PROGRAMS

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

Failure to meet a deadline will mean that an applicant will be rejected without any consideration.

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$555.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.) In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: http://www.access.gpo.gov/nara. Depository Library location and Federal Register services: http://www.nara.gov/fedreg.

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. No ED employees are authorized to extend any deadline published in the Federal Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education Application Control Center Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFP's are now available on-line for downloading at the following url: http://www.ed.gov/offices/ocfo/contracts/currrfp.html.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP. A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents U.S. Government Printing Office Washington, D.C. 20402-9371

In addition, the Commerce Business Daily is available on-line for free at the following url: http://cbdnet.access.gpo.gov/. The Federal Acquisition Regulations are available on-line at the following url: http://www.arnet.gov/far/.

ED FORM 5348, 7/01

GRANT APPLICATION RECEIPT ACKNOWLEDGMENT
If you fail to receive the notification of application receipt within fifteen (15) days from the closing date, call:
U.S. Department of Education
I-9

Application Control Center (202) 708-9493

GRANT AND CONTRACT FUNDING INFORMATION

The Department of Education	on provides informat	ion about grant and	d contract opportunities	s electronically in	ı several ways:

ED Internet Home Page http://www.ed.gov/ (WWW address)

SECTION G

APPLICATION CHECKLIST

Does your application include each of the following?

[]	Cover page (ED 424)					
[]	Place Social Security Number in Block #2 of ED 424					
[]	Resume					
[]	Letters of Support					
[]	Program narrative, including abst	ract and respo	onses to the selection criteria			
[]	Assurances and Certifications [lis	t]				
Did Y	You					
[]	Provide one (1) original plus 2 co requested)?	pies of the ap	oplication (One original and seven copies are			
[]	Include all required forms with or	riginal signatı	ures and dates?			
[]	Include narrative on the Protection	n of Human S	Subjects?			
[]	Mail* Application To:	OR	Hand deliver* Application To:			
	ATTN: 84.133F U.S. Department of Education Application Control Center 400 Maryland Avenue, SW Washington, DC 20202-4725		ATTN: 84.133F U.S. Department of Education Application Control Center 7 th & D Streets, SW, ROB#3, Room 3633 Washington, DC 20202-4725			